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Approved through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/884360

Filing Date

June 19, 2001

First Named Inventor

Osugi, et al.

Group Art Unit

2171

Examiner Name

not assigned

Total Number of Pages in This Submission

64

Attorney Docket Number

ADC-OSUGI1

ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Response
- ☐ After Final
- ☒ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☒ Certified Copy of Priority Document(s)
- ☒ Response to Missing Parts/ Incomplete Application
 - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Checklist and Accompanying Petition
- ☐ To Convert a Provisional Application
- ☒ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below):

Return Postcard;
Copy of Notice of
Missing Parts

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Brown & Michaels, PC

Signature

Date

Michael F. Brown, 29,619

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

70993220000747584869

Typed or printed name

Theresa M. Rimbey

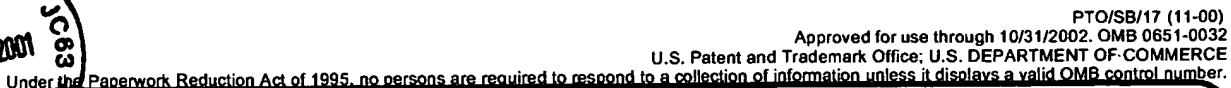
Signature

Theresa M. Rimbey

Date

10/18/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Patent fees are subject to annual revision.

(\$)
120.00

Complete if Known

Application Number	09/884360
Filing Date	June 19, 2001
First Named Inventor	Osugi, et al.
Examiner Name	not assigned
Group Art Unit	2171
Attorney Docket No.	ADC-OSUGI1

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

02-0910

Brown & Michaels PC

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

- ☒
- Check
- ☐
- Credit card
- ☐
- Money Order
- ☐
- Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity	Small Entity
1. Entity Type	Corporation or Partnership	Sole Proprietorship or Limited Liability Company (LLC)
2. Ownership Structure	Multiple owners (shareholders or partners)	Single owner (sole proprietor) or limited number of owners (LLC members)
3. Liability	Limited liability for shareholders/partners; entity is liable for debts.	Unlimited personal liability for sole proprietors; limited liability for LLC members.
4. Tax Treatment	C Corporation: Double taxation (entity pays taxes, then shareholders pay dividends). S Corporation: Pass-through taxation (profits/losses flow through to shareholders).	Sole Proprietorship: Single taxation (owner reports income/loss on personal return). LLC: Can elect pass-through taxation (like sole proprietorship) or be taxed as a corporation.
5. Raising Capital	Easier to raise capital through issuing shares or bonds.	Difficult to raise capital from outside sources; relies more on owner's funds or loans.
6. Governance	Formal governance structure (board of directors, officers, etc.).	Informal governance structure; owner(s) manage directly.
7. Cost of Formation	Higher costs due to legal fees, state incorporation fees, and ongoing compliance.	Lower costs for formation and ongoing maintenance.
8. Flexibility	Less flexible in terms of ownership changes and profit distribution.	More flexible in terms of ownership changes and profit distribution.

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee

Free Paid

SUBTOTAL (1)	(\$) 0.00
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2. EXTRA CLAIM FEES

		Extra Claims		Fee from below	Fee Paid
Total Claims	<input type="text"/>	-20** =	<input type="text"/>	X <input type="text"/>	= <input type="text"/>
Independent Claims	<input type="text"/>	- 3** =	<input type="text"/>	X <input type="text"/>	= <input type="text"/>
Multiple Dependent	<input type="text"/>			<input type="text"/>	= <input type="text"/>

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)
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Fee Description

103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)
0.00

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	65	Surcharge - late filing fee or oath	65.00
127	50	25	Surcharge - late provisional filing fee or cover sheet	
139	130	130	Non-English specification	
147	2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	1,840*	Requesting publication of SIR after Examiner action	55.00
115	110	55	Extension for reply within first month	
116	390	195	Extension for reply within second month	
117	890	445	Extension for reply within third month	
118	1,390	695	Extension for reply within fourth month	
128	1,890	945	Extension for reply within fifth month	
119	310	155	Notice of Appeal	
120	310	155	Filing a brief in support of an appeal	
121	270	135	Request for oral hearing	
138	1,510	1,510	Petition to institute a public use proceeding	
140	110	55	Petition to revive - unavoidable	
141	1,240	620	Petition to revive - unintentional	
142	1,240	620	Utility issue fee (or reissue)	
143	440	220	Design issue fee	
144	600	300	Plant issue fee	
122	130	130	Petitions to the Commissioner	
123	50	50	Processing fee under 37 CFR 1.17(q)	
126	180	180	Submission of Information Disclosure Stmt	
581	40	40	Recording each patent assignment per property (times number of properties)	
146	710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	355	Request for Continued Examination (RCE)	
169	900	900	Request for expedited examination of a design application	
Other fee (specify) _____				

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)	(\$) 120.00
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SUBMITTED BY

Name (Print/Type)	Michael F. Brown
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Signature

Registration No.
(Attorney/Agent)

29,619

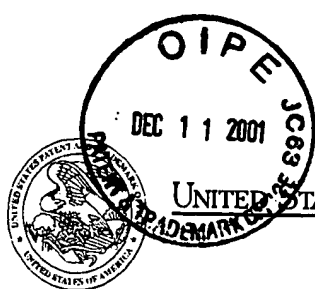
Complete (if applicable)

Telephone	607-256-2000
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Date	10/18/2001
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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/884,360	06/19/2001	Yasuhiro Osugi	ADC-Osugil

020808
BROWN PINNISI & MICHAELS
400 M & T BANK BUILDING
118 NORTH TIOGA ST
ITHACA, NY 14850

CONFIRMATION NO. 1805
FORMALITIES LETTER



OC000000006432046

Date Mailed: 08/16/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/13/2001 EABUBAK1 00000060 09884360

01 FC:205

65.00 OP